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Docket No.: SONY 3.0-020  
(PATENT)

2161

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Ludtke et al.

Application No.: 10/014,112

Group Art Unit: 2161

Filed: December 11, 2001

Examiner: Not Yet Assigned

For: SYSTEM AND METHOD FOR CONDUCTING  
SECURE TRANSACTIONS OVER A  
NETWORK

Commissioner for Patents  
Washington, DC 20231

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INFORMATION DISCLOSURE STATEMENT

Dear Sir:

It is respectfully requested that the information listed on the enclosed form be made of record and considered with respect to the above-referenced U.S. patent application. A copy of each piece of information is enclosed. Submission of the present Information Disclosure Statement should not be taken as an admission that the cited information is legally available prior art or that the same are pertinent or material.

This Information Disclosure Statement is being filed before a first Office Action on the merits and, therefore, fee is believed due. In the event that any fee is due in connection with the present Information Disclosure Statement, the Commissioner is hereby authorized to charge the same to our Deposit Account No. 12-1095.

Dated: March 28, 2002

Respectfully submitted,

By 

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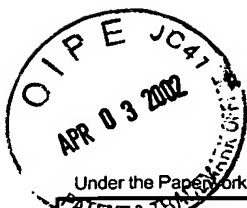
Attorneys for Applicant

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PTO/SB/08A (10-01)

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/014,112
				Filing Date	December 11, 2001
				First Named Inventor	Harold A. Ludtke
				Art Unit	2161
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket Number	SONY 3.0-0220

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U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AA	5,744,787	04-28-1998	Teicher	
	AB	5,521,362	05-28-1996	Powers	
	AC	5,461,217	10-24-1995	Claus	
	AD	5,221,838	06-22-1993	Gutman et al.	
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	AJ	5,945,652	08-31-1999	Ohki et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)			

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See attached Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CA	U.S. Patent Application No. 10/014,960, filed December 11, 2001, entitled "Method Or System For Executing Deferred Transactions".	
	CB	U.S. Patent Application No. 10/015,070, filed December 11, 2001, entitled "Method And System Of Conducting Network-Based Transactions".	
	CC	U.S. Patent Application No. 09/483,584, filed December 11, 2000, entitled "Secure Electronic Commerce System".	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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